

PATENT

Case Docket No. GNE.2830P1C3

Date: March 11, 2002

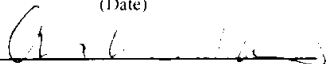
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s) : Baker et al.  
Appl. No. : 10/006,063  
Filed : December 6, 2001  
For : SECRETED AND  
TRANSMEMBRANE  
POLYPEPTIDES AND  
NUCLEIC ACIDS  
ENCODING THE SAME  
Examiner : Unknown  
Group Art Unit : Unknown

I hereby certify that this correspondence and all  
marked attachments are being deposited with the  
United States Postal Service as first class mail in  
an envelope addressed to: Commissioner for  
Patents, Washington, D.C. 20231, on

March 11, 2002

(Date)

  
Ginger R. Dreger, Reg. No. 33,055

**TRANSMITTAL LETTER**

United States Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

Dear Sir:

Enclosed for filing in the above-identified application is the following:

- (X) Amendment;
- (X) Sequence Submission Statement;
- (X) Sequence Listing diskette in computer readable form;
- (X) Substitute Sequence Listing;
- (X) Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures;

PATENT

Case Docket No. GNE.2830PIC3


Date: March 11, 2002

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- (X) Specification in 402 pages;
- (X) Correction of Address;
- (X) Request for Corrected Filing Receipt;
- (X) Copy of original Filing Receipt, with corrections marked in red;

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Account No. 11-1410; and

- (X) A return prepaid postcard.

  
Ginger R. Dreger  
Registration No. 33,055  
Attorney of Record

GNE.2830P1C3

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant	:	Baker et al.	)	Group Art Unit Unknown
			)	
Appl. No.	:	10/006,063	)	
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For	:	SECRETED AND	)	
		TRANSMEMBRANE	)	
		POLYPEPTIDES AND	)	
		NUCLEIC ACIDS ENCODING	)	
		THE SAME	)	
			)	
Examiner	:	Unknown	)	
			)	

REQUEST FOR CORRECTED FILING RECEIPT

United States Patent and Trademark Office  
P.O. Box 2327  
Office of Initial Patent Examination  
Customer Service Center  
Arlington, VA 22202

Dear Sir:

Applicants hereby request that the Official Filing Receipt, a marked copy of which is enclosed, be corrected to reflect the priority claims of the above-referenced case. Although, the Transmittal Letter claims priority to five U.S. applications (p.2), the Filing Receipt presently only shows the Provisional and PCT applications priority claims. Please add the following U.S. applications as follows to page 2 of the Official Filing Receipt:

Appl. No. : 10/006,768  
Filed : December 6, 2001

1. 09/218,517, filed December 22, 1998
2. 09/284,291, filed April 12, 1999
3. 09/403,297, filed October 18, 1999
4. 09/872,035, filed June 1, 2001
5. 09/882,636, filed June 14, 2001

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: March 1, 2002

By: Ginger R. Dreger

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030802

MAR 15 2002

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APP. NO.	FILING DATE	GRP. ART. UNIT	FIL. FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT. CLAIMS	IND. CLAIMS
10/006,063	12/06/2001	1643	740	P2830P1C3	249	13	2

CONFIRMATION NO. 8559

## FILING RECEIPT



\*OC000000007299341\*

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Knobbe Martens Olson & Bear  
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San Francisco, CA 94111

Date Mailed: 01/11/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

## Applicant(s)

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## Assignment For Published Patent Application

Genentech, Inc.;

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CON OF 09/946,374 09/04/2001

AND CLAIMS BENEFIT OF 60/098,716 09/01/1998

AND CLAIMS BENEFIT OF 60/098,723 09/01/1998

AND CLAIMS BENEFIT OF 60/098,749 09/01/1998

AND CLAIMS BENEFIT OF 60/098,750 09/01/1998

AND CLAIMS BENEFIT OF 60/098,803 09/02/1998

AND CLAIMS BENEFIT OF 60/098,821 09/02/1998

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AND CLAIMS BENEFIT OF 60/099,536 09/09/1998

AND CLAIMS BENEFIT OF 60/099,596 09/09/1998

AND CLAIMS BENEFIT OF 60/099,598 09/09/1998

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AND CLAIMS BENEFIT OF 60/100,710 09/17/1998

AND CLAIMS BENEFIT OF 60/100,711 09/17/1998

AND CLAIMS BENEFIT OF 60/100,848 09/18/1998

AND CLAIMS BENEFIT OF 60/100,849 09/18/1998

AND CLAIMS BENEFIT OF 60/100,919 09/17/1998

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AND CLAIMS BENEFIT OF 60/101,014 09/18/1998

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AND CLAIMS BENEFIT OF 60/101,279 09/22/1998

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AND CLAIMS BENEFIT OF 60/101,738 09/24/1998

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THIS APPLICATION 10/006,063

CLAIMS BENEFIT OF 60/101,743 09/24/1998

AND CLAIMS BENEFIT OF 60/101,915 09/24/1998

AND CLAIMS BENEFIT OF 60/101,916 09/24/1998

AND CLAIMS BENEFIT OF 60/102,207 09/29/1998

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AND CLAIMS BENEFIT OF 60/102,484 09/30/1998

Which claims benefit of

09/28,517 12/20/1998

and claims benefit of

09/284,291 4/12/1999

and claims benefit of

09/403,297 10/18/1999

and claims benefit of

09/572,635 6/1/2001

and claims benefit of

09/882,636 6/14/2001

AND CLAIMS BENEFIT OF 60/102,487 09/30/1998  
AND CLAIMS BENEFIT OF 60/102,570 09/30/1998  
AND CLAIMS BENEFIT OF 60/102,571 09/30/1998  
AND CLAIMS BENEFIT OF 60/102,684 10/01/1998  
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AND CLAIMS BENEFIT OF 60/102,965 10/02/1998  
AND CLAIMS BENEFIT OF 60/103,258 10/06/1998  
AND CLAIMS BENEFIT OF 60/103,314 10/07/1998  
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AND CLAIMS BENEFIT OF 60/103,396 10/07/1998  
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AND CLAIMS BENEFIT OF 60/103,449 10/06/1998  
AND CLAIMS BENEFIT OF 60/103,633 10/08/1998  
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AND CLAIMS BENEFIT OF 60/104,257 10/14/1998  
AND CLAIMS BENEFIT OF 60/104,987 10/20/1998  
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AND CLAIMS BENEFIT OF 60/105,104 10/21/1998  
AND CLAIMS BENEFIT OF 60/105,169 10/22/1998  
AND CLAIMS BENEFIT OF 60/105,266 10/22/1998  
AND CLAIMS BENEFIT OF 60/105,693 10/26/1998  
AND CLAIMS BENEFIT OF 60/105,694 10/26/1998  
AND CLAIMS BENEFIT OF 60/105,807 10/27/1998  
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AND CLAIMS BENEFIT OF 60/105,882 10/27/1998  
AND CLAIMS BENEFIT OF 60/106,023 10/28/1998  
AND CLAIMS BENEFIT OF 60/106,029 10/28/1998  
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AND CLAIMS BENEFIT OF 60/106,033 10/28/1998  
AND CLAIMS BENEFIT OF 60/106,062 10/27/1998  
AND CLAIMS BENEFIT OF 60/106,178 10/28/1998  
AND CLAIMS BENEFIT OF 60/106,248 10/29/1998  
AND CLAIMS BENEFIT OF 60/106,384 10/29/1998  
AND CLAIMS BENEFIT OF 60/108,500 10/29/1998  
AND CLAIMS BENEFIT OF 60/106,464 10/30/1998  
THIS APPLICATION 10/006,063  
CLAIMS BENEFIT OF 60/106,856 11/03/1998  
AND CLAIMS BENEFIT OF 60/106,902 11/03/1998  
AND CLAIMS BENEFIT OF 60/106,905 11/03/1998  
AND CLAIMS BENEFIT OF 60/106,919 11/03/1998  
AND CLAIMS BENEFIT OF 60/106,932 11/03/1998  
AND CLAIMS BENEFIT OF 60/106,934 11/03/1998  
AND CLAIMS BENEFIT OF 60/107,783 11/10/1998  
AND CLAIMS BENEFIT OF 60/108,775 11/17/1998  
AND CLAIMS BENEFIT OF 60/108,779 11/17/1998  
AND CLAIMS BENEFIT OF 60/108,787 11/17/1998  
AND CLAIMS BENEFIT OF 60/108,788 11/17/1998  
AND CLAIMS BENEFIT OF 60/108,801 11/17/1998  
AND CLAIMS BENEFIT OF 60/108,802 11/17/1998  
AND CLAIMS BENEFIT OF 60/108,806 11/17/1998  
AND CLAIMS BENEFIT OF 60/108,807 11/17/1998  
AND CLAIMS BENEFIT OF 60/108,848 11/18/1998  
AND CLAIMS BENEFIT OF 60/108,849 11/18/1998  
AND CLAIMS BENEFIT OF 60/108,850 11/18/1998

AND CLAIMS BENEFIT OF 60/108,851 11/18/1998  
AND CLAIMS BENEFIT OF 60/108,852 11/18/1998  
AND CLAIMS BENEFIT OF 60/108,858 11/18/1998  
AND CLAIMS BENEFIT OF 60/108,867 11/17/1998  
AND CLAIMS BENEFIT OF 60/108,904 11/18/1998  
AND CLAIMS BENEFIT OF 60/108,925 11/17/1998  
AND CLAIMS BENEFIT OF 60/113,296 12/22/1998  
AND CLAIMS BENEFIT OF 60/114,223 12/30/1998  
AND CLAIMS BENEFIT OF 60/129,674 04/16/1999  
AND CLAIMS BENEFIT OF 60/141,037 06/23/1999  
AND CLAIMS BENEFIT OF 60/144,758 07/20/1999  
AND CLAIMS BENEFIT OF 60/145,698 07/26/1999  
AND CLAIMS BENEFIT OF 60/162,506 10/29/1999

#### Foreign Applications

PCT/US99/00106 01/05/1999  
PCT/US99/20111 09/01/1999  
PCT/US99/21194 09/15/1999  
PCT/US99/28313 11/30/1999  
PCT/US99/28551 12/02/1999  
PCT/US99/30095 12/16/1999  
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PCT/US00/03565 02/11/2000  
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PCT/US00/05004 02/24/2000  
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PCT/US00/06884 03/15/2000  
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PCT/US00/30873 11/10/2000  
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PCT/US01/06520 02/28/2001  
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PCT/US01/17800 06/01/2001  
PCT/US01/19692 06/20/2001  
PCT/US01/21066 06/29/2001  
PCT/US01/21735 07/09/2001

If Required, Foreign Filing License Granted 01/11/2002

Projected Publication Date: To Be Determined - pending completion of Sequence Disclosures

Non-Publication Request: No

Early Publication Request: No

#### Title

Secreted and transmembrane polypeptides and nucleic acids encoding the same



Preliminary Class

536

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

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No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

GNE.2830P1C3



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant	:	Baker et al.	)	Group Art Unit Unknown
			)	
Appl. No.	:	10/006,063	)	I hereby certify that this correspondence and all
			)	marked attachments are being deposited with
Filed	:	December 6, 2001	)	the United States Postal Service as first-class
			)	mail in an envelope addressed to:
For	:	SECRETED AND	)	Commissioner for Patents, Washington, D.C.
		TRANSMEMBRANE	)	20231, on
		POLYPEPTIDES AND NUCLEIC	)	
		ACIDS ENCODING THE SAME	)	
			)	
Examiner	:	Unknown	)	

AMENDMENT

United States Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

Dear Sir:

In response to the Notice To Comply With Requirements For Patent Applications Containing Nucleotide Sequence And/Or Amino Acid Sequence Disclosures mailed on December 7, 2001, setting a two-months term, Applicants hereby request the entry of the substitute "Sequence Listing" submitted concurrently herewith into the specification, starting on a new page, immediately following the claims. The present substitute Sequence Listing serves to replace the Sequence Listing filed on October 15, 2001.

Please charge any additional fees, including any fees for additional extension of time, or credit overpayment to Deposit Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: March 1, 2002

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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/006,063	12/06/2001	Kevin P. Baker	P2830PIC3

CONFIRMATION NO. 8559

FORMALITIES LETTER



\*OC000000007299342\*

Ginger R. Dreger  
Knobbe Martens Olson & Bear  
Suite 1150  
201 California Street  
San Francisco, CA 94111

Date Mailed: 01/11/2002

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE  
DISCLOSURES**

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing." Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d).

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE